

# WORKMAN NYDEGGER & SEELEY

ATTORNEYS AT LAW  
A PROFESSIONAL CORPORATION

1000 EAGLE GATE TOWER  
60 EAST SOUTH TEMPLE  
SALT LAKE CITY, UTAH 84111  
TELEPHONE (801) 533-9800  
FACSIMILE (801) 328-1707



RICK D. NYDEGGER  
DAVID O. SEELEY  
BRENT P. LORIMER  
THOMAS R. VUKSINICK  
LARRY R. LAYCOCK  
JONATHAN W. RICHARDS  
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† ADMITTED ONLY IN CALIFORNIA  
\* ADMITTED ONLY IN PENNSYLVANIA  
H. ROSS WORKMAN  
OF COUNSEL

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EXPRESS MAIL LABEL NO.: EL 656 157 252 US

PATENT APPLICATION  
Docket No.: 14531.5.1.5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

**RECEIVED**  
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Technology Center 2100

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- ☒ Form PTO-1449 list of fifty-seven (57) references submitted for consideration.
- ☐ Legible copies of the listed references or their relevant portions.
- ☐ All English translations of each nonenglish reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

- ☐ Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.S./

- ☐ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
- ☒ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.
- ☒ Legible Copies of previously filed Information Disclosure Statement for application Serial Nos. 09/437,887, filed November 9, 1999, 09/106,937, filed June 30, 1998, and 08/660,088, filed June 3, 1996.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- ☐ Promptness Certification.
- ☐ Check No. \_\_\_\_\_ in the amount of \$240.00 constituting submission fee under 37 C.F.R. 1.17(p);
- ☐ Petition for Consideration and Check No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_.
- ☒ In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 31 day of JULY, 2001.

Respectfully submitted,



RICK D. NYDEGGER  
Attorney for Applicant  
Registration No. 28,651



022913

PATENT TRADEMARK OFFICE

RDN:jrr

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.S./



**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Joe F. Britt, Jr.

Docket No.

14531.5.1.5

Serial No.

09/851,402

Filing Date

May 8, 2001

Confirmation No.

1907

Examiner

unknown

Group Art Unit

2173

Invention: DOWNLOADING SOFTWARE FROM A SERVER TO A CLIENT

I hereby certify that the Transmittal letter (2 pages) (in triplicate); Information Disclosure Statement (3 pgs); Form PTO-1449 (5 pgs); Legible Copies of previously submitted Information Disclosure Statement (13 pgs); and postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, DC 20231 on July 31, 2001.

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**AUG 03 2001**

**Technology Center 2100**

JOLIN JOHNSON

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

**EL 656 157 252 US**

("Express Mail" Mailing Label Number)

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EXPRESS MAIL LABEL NO.: EL 656 157 252 US

PATENT APPLICATION

Docket No.: 14531.5.1.5



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Joe F. Britt, Jr.

Serial No.: 09/851,402

Filed: May 8, 2001

Confirmation No.: 1907

For: DOWNLOADING SOFTWARE FROM  
A SERVER TO A CLIENT

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) Art Unit  
) 2173  
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INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

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AUG 03 2001  
Technology Center 2100

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of

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which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

Statement of References Previously Disclosed  
Under 37 C.F.R. § 1.98(d)

The following listed references are not enclosed because, under 37 C.F.R. § 1.98(d), they were previously cited by or submitted to the Office in application numbers 09/437,887, filed November 9, 1999, 09/106,937, filed June 30, 1998, and 08/660,088, filed June 3, 1996, which are relied upon for an earlier filing date under 35 U.S.C. § 120.

U.S. Patent Documents

4,575,579	5,299,307	5,538,255	5,678,002	5,752,246
4,852,151	5,325,423	5,558,339	5,680,645	5,778,372
4,922,523	5,329,619	5,561,709	5,695,400	5,818,441
4,975,944	5,341,293	5,564,001	5,696,899	5,844,552
4,995,074	5,369,688	5,586,257	5,701,451	5,854,630
5,005,011	5,410,541	5,586,260	5,706,434	6,049,671
5,095,494	5,425,092	5,612,730	5,706,502	6,052,803
5,220,420	5,469,540	5,623,600	5,710,918	
5,241,587	5,488,411	5,654,886	5,717,860	
5,263,084	5,490,208	5,657,390	5,732,268	
5,287,401	5,530,852	5,657,448	5,748,896	

Other Documents

Administrator's Guide, Netscape Proxy Server Version 2.0, Netscape Communications Corporation, pp. 19-20, 1996.

Chankhunthod, Anawat et al., "A Hierarchical Internet Object Cache," 1996 USEWIX Technical Conference (6 pages).

Farrow, Rik; InfoWorld, "Securing the Web: fire walls, proxy servers, and data driven attacks," June 19, 1995; vol. 17, no. 25 (page 103 (1)).

Rosoff, Matt, Review: "Gateway Destination PC," c/net inc., Feb. 19, 1996 (2 pages).

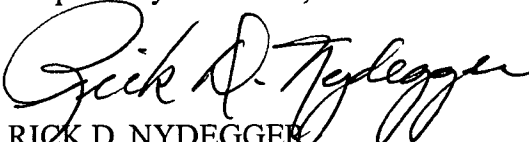
Seidman, Robert, Article: "What Larry and Lou Know (That You Don't)," c/net inc., Jan. 29, 1996 (2 pages).

Stellin, Susan, Article: "The \$500 Web Box: Less is More?" c/net inc., 1996 (2 pages).

Please credit any over payment or charge any additional fees to Deposit Account  
No. 3-3178 of the undersigned.

Dated this 31 day of July, 2001.

Respectfully submitted,

  
RICK D. NYDEGGER  
Attorney for Applicant  
Registration No. 28,651



**022913**

PATENT TRADEMARK OFFICE

RDN:jrr

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EXPRESS MAIL LABEL NO.: EL 656 157 252 US

Form PTO-1449

Sheet 1 of 5

Applicant: Joe F. Britt, Jr.

Serial No.: 09/851,402

Att'y Docket No.: 14531.5.1.5

Filing Date: May 8, 2001

Group: 2173

Confirmation No.: 1907

For: DOWNLOADING SOFTWARE FROM A SERVER TO A CLIENT

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
_____ A1.	4,575,579	03/1986	Simon et al.	178	4	
_____ A2.	4,852,151	07/1989	Dittakavi et al.	379	97	
_____ A3.	4,922,523	05/1990	Hashimoto	379	96	
_____ A4.	4,975,944	12/1990	Cho	379	209	
_____ A5.	4,995,074	02/1991	Goldman et al.	379	97	
_____ A6.	5,005,011	04/1991	Perlman et al.	340	728	
_____ A7.	5,095,494	03/1992	Takahashi et al.	375	10	
_____ A8.	5,220,420	06/1993	Hoarty et al.	358	86	
_____ A9.	5,241,587	08/1993	Horton et al.	379	93	
_____ A10.	5,263,084	11/1993	Chaput et al.	379	215	
_____ A11.	5,287,401	02/1994	Lin	379	98	
_____ A12.	5,299,307	03/1994	Young	395	161	
_____ A13.	5,325,423	06/28/94	Lewis	379	90	11/13/92
/Steven Sax/				12/03/2008		

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.S./



EXPRESS MAIL LABEL NO.: EL 656 157 252 US

Form PTO-1449

Sheet 2 of 5

Applicant: Joe F. Britt, Jr.

Serial No.: 09/851,402

Att'y Docket No.: 14531.5.1.5

Filing Date: May 8, 2001

Group: 2173

Confirmation No.: 1907

For: DOWNLOADING SOFTWARE FROM A SERVER TO A CLIENT

_____ A14.	5,329,619	07/12/94	Page et al.	395	200	10/30/92
_____ A15.	5,341,293	08/1994	Vertelney et al.	364	419.17	
_____ A16.	5,369,688	11/199	Tsukamoto et al.	379	100	
_____ A17.	5,410,541	04/1995	Hotto	370	76	
_____ A18.	5,425,092	06/1995	Quirk	379	215	
_____ A19.	5,469,540	11/1995	Powers, III et al.	395	158	
_____ A20.	5,488,411	01/30/96	Lewis	348	8	
_____ A21.	5,490,208	02/1996	Remillard	379	96	
_____ A22.	5,530,852	06/1996	Meske, Jr. et al.	395	600	
_____ A23.	5,538,255	07/23/96	Barker	463	41	02/18/92
_____ A24.	5,558,339	09/24/96	Perlman	463	42	05/05/94
_____ A25.	5,561,709	10/1996	Remillard	379	96	
_____ A26.	5,564,001	10/08/96	Lewis	395	154	06/24/94
_____ A27.	5,586,257	12/17/96	Perlman	463	42	05/05/94
_____ A28.	5,586,260	12/1996	Hu	395	200.2	
_____ A29.	5,612,730	03/18/97	Lewis	348	8	03/03/95
_____ A30.	5,623,600	04/1997	Ji et al.	395	187.01	

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Date Considered:

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EXPRESS MAIL LABEL NO.: EL 656 157 252 US

Form PTO-1449

Sheet 3 of 5

Applicant: Joe F. Britt, Jr.

Serial No.: 09/851,402

Att'y Docket No.: 14531.5.1.5

Filing Date: May 8, 2001

Group: 2173

Confirmation No.: 1907

For: DOWNLOADING SOFTWARE FROM A SERVER TO A CLIENT

_____ A31.	5,654,886	08/1997	Zereski, Jr. et al.	364	420	
_____ A32.	5,657,390	08/1997	Elgamal et al.	380	49	
_____ A33.	5,657,448	08/12/97	Wadsworth et al.	395	200.5	11/18/92
_____ A34.	5,678,002	10/14/97	Fawcett et al.	395	183.01	
_____ A35.	5,680,645	10/21/97	Russell et al.	395	868	11/18/92
_____ A36.	5,695,400	12/1997	Fennell, Jr. et al.	463	42	
_____ A37.	5,696,899	12/09/97	Kalwitz	395	200.1	11/18/92
_____ A38.	5,701,451	12/1997	Rogers et al.	395	600	
_____ A39.	5,706,434	01/06/98	Kremen et al.	395	200.09	07/06/95
_____ A40.	5,706,502	01/06/98	Foley et al.	395	610	03/26/96
_____ A41.	5,710,918	01/1998	Lagarde et al.	395	610	
_____ A42.	5,717,860	02/1998	Eraber et al.	395	200.12	
_____ A43.	5,732,268	03/24/98	Bizzarri	395	652	
_____ A44.	5,748,896	05/05/98	Daly et al.	395	200.53	12/27/95
_____ A45.	5,752,246	05/1998	Rogers et al.	707	10	
_____ A46.	5,778,372	07/1998	Cordell et al.	707	100	
_____ A47.	5,818,441	10/1998	Throckmorton et al.	345	328	
/Steven Sax/						

12/03/2008

Examiner:

Date Considered:

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EXPRESS MAIL LABEL NO.: EL 656 157 252 US

Form PTO-1449

Sheet 4 of 5

Applicant: Joe F. Britt, Jr.

Serial No.: 09/851,402

Att'y Docket No.: 14531.5.1.5

Filing Date: May 8, 2001

Group: 2173

Confirmation No.: 1907

For: DOWNLOADING SOFTWARE FROM A SERVER TO A CLIENT

_____ A48.	5,844,552	12/1998	Gaughan et al.	345	327
_____ A49.	5,854,630	12/1998	Nielsen	345	352
_____ A50.	6,049,671	04/11/00	Sliuka et al.	395	712
_____ A51.	6,052,803	04/18/00	Blagtia et al.	714	49

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Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner  
Initial\*

_____ A52.	<u>Administrator's Guide, Netscape Proxy Server Version 2.0</u> , Netscape Communications Corporation, pp. 19-20, 1996.				
_____ A53.	Chankhunthod, Anawat et al., "A Hierarchical Internet Object Cache," 1996 USEWIX Technical Conference (6 pages).				
_____ A54.	Farrow, Rik; InfoWorld, "Securing the Web: fire walls, proxy servers, and data driven attacks," June 19, 1995; vol. 17, no. 25 (page 103 (1)).				
_____ A55.	Rosoff, Matt, Review: "Gateway Destination PC," c/net inc., Feb. 19, 1996 (2 pages).				
_____ A56.	Seidman, Robert, Article: "What Larry and Lou Know (That You Don't)," c/net inc., Jan. 29, 1996 (2 pages).				
_____ A57.	Stellin, Susan, Article: "The \$500 Web Box: Less is More?" c/net inc., 1996 (2 pages).				

/Steven Sax/

12/03/2008

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.S./



Receipt Date: 07/31/2001

09851402 - GAU: 2174

EXPRESS MAIL LABEL NO.: EL 656 157 252 US

Form PTO-1449

Sheet 5 of 5

Applicant: Joe F. Britt, Jr.

Serial No.: 09/851,402

Att'y Docket No.: 14531.5.1.5

Filing Date: May 8, 2001

Group: 2173

Confirmation No.: 1907

For: DOWNLOADING SOFTWARE FROM A SERVER TO A CLIENT

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**References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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/Steven Sax/

12/03/2008

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /S.S./



**Notice of References Cited**

Application No. <b>09/437887</b>	Applicant(s) <b>Br.H, Jr. et al.</b>		
Examiner <b>Sax</b>	Group Art Unit <b>2773</b>	Page <b>1</b> of <b>1</b>	

**U.S. PATENT DOCUMENTS**

*	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
A	6052803	4/18/00	Blagtiq et al.	714	49
B	6049671	4/11/00	Slivka et al.	395	712
C	6023724				
D	5783398				
E	5732268	7/24/98	Bizzarri	395	652
F	5678002	10/14/97	Fawcett et al.	395	183.01
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**FOREIGN PATENT DOCUMENTS**

*	DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
N						
O						
P						
Q						
R						
S						
T						

**NON-PATENT DOCUMENTS**

*	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
U		
V		
W		
X		

ALL REFERENCES CONSULTED EXCEPT WHERE LINED THROUGH. /S.S./

Form PTO-1449

Sheet 1 of 2

Applicant: Joe F. Britt, Jr., et al.  
 Serial No.: 09/437,887  
 Filing Date: November 9, 1999  
 For: DOWNLOADING SOFTWARE FROM A SERVER TO A CLIENT

Att'y Docket No. 14531.5.1.3  
 Group: unknown

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
_____ A1	5,325,423	06/28/94	Lewis	379	90	11/13/92
_____ A2	5,488,411	01/30/96	Lewis	348	8	03/14/94
_____ A3	5,538,255	07/23/96	Barker	463	41	02/18/92
_____ A4	5,558,339	09/24/96	Perlman	463	42	05/05/94
_____ A5	5,564,001	10/08/96	Lewis	395	154	06/24/94
_____ A6	5,586,257	12/17/96	Perlman	463	42	05/05/94
_____ A7	5,612,730	03/18/97	Lewis	348	8	03/03/95
_____ A8	5,657,448	08/12/97	Wadsworth et al.	395	200.5	11/18/92
_____ A9	5,680,645	10/21/97	Russell et al.	395	868	11/18/92
_____ A10	5,696,899	12/09/97	Kalwitz	395	200.1	11/18/92
_____ A11	5,706,434	01/06/98	Kremen et al.	395	200.09	07/06/95
_____ A12	5,706,502	01/06/98	Foley et al.	395	610	03/26/96
_____ A13	5,748,896	05/05/98	Daly et al.	395	200.53	12/27/95

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/Steven Sax/

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Date Considered:

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Sheet 2 of 2

Applicant: Joe F. Britt, Jr., et al.  
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 Group: unknown

Other Documents

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(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner

Initial\*

\_\_\_\_\_ A14 Administrator's Guide, Netscape Proxy Server Version 2.0, Netscape Communications Corporation, pp. 19-20 1996.

\_\_\_\_\_ A15 Chankhunthod, Anawat et al., "A Hierarchical Internet Object Cache," 1996 USEWIX Technical Conference (6 pages).

**References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

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/Steven Sax/

12/03/2008

Examiner:

Date Considered:

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## Notice of References Cited

Application No.

59 106937

Applicant(s)

Britt, Jr. et al.

Examiner

Sax

Group Art Unit

2773

Page 1 of 1

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B	5695400	12/9/97	Fennell, Jr. et al.	463	42
C	5854630	12/29/98	Nielsen	348	352
D	5844552	12/1/98	Gavahan et al.	345	327
E	5752246	5/12/98	Rogers et al.	707	10
F	5818441	10/6/98	Throckmorton et al.	345	328
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## NON-PATENT DOCUMENTS

*	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
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 (See Manual of Patent Examining Procedure, Section 707.05(b).)

Receipt date: 07/31/2001



09851402 - GAU: 2174

Applicant: Joe F. Britt, Jr et al.  
Serial No.: 09/106,93  
Filing Date: June 30, 1998  
For: REDUCING LATENCY WHILE DOWNLOADING DATA OVER A NETWORK

Att'y Docket No. 14531.5.1.1  
Group: 2756

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
_____ A1	4,575,579	3/11/86	Simon et al.	178	4	11/29/83
_____ A2	5,220,420	6/15/93	Hoarty et al.	358	86	9/10/91
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Group: 2756

Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

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Initial\*

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Receipt date: 07/31/2001

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Application No.

08/660088

Applicant(s)

White et al.

Examiner

Sax

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Page 1 of 1

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B	5710918	1/20/98	Lagarde et al.	395	610
C	5717860	2/10/98	Graber et al.	395	200.12
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E	5706502	1/6/98	Foley et al.	395	610
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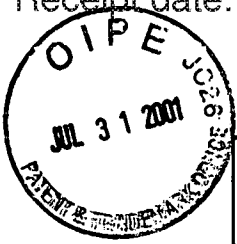
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08/660,088

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APPLICANT

White et al.

FILING DATE

06-03-96

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						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


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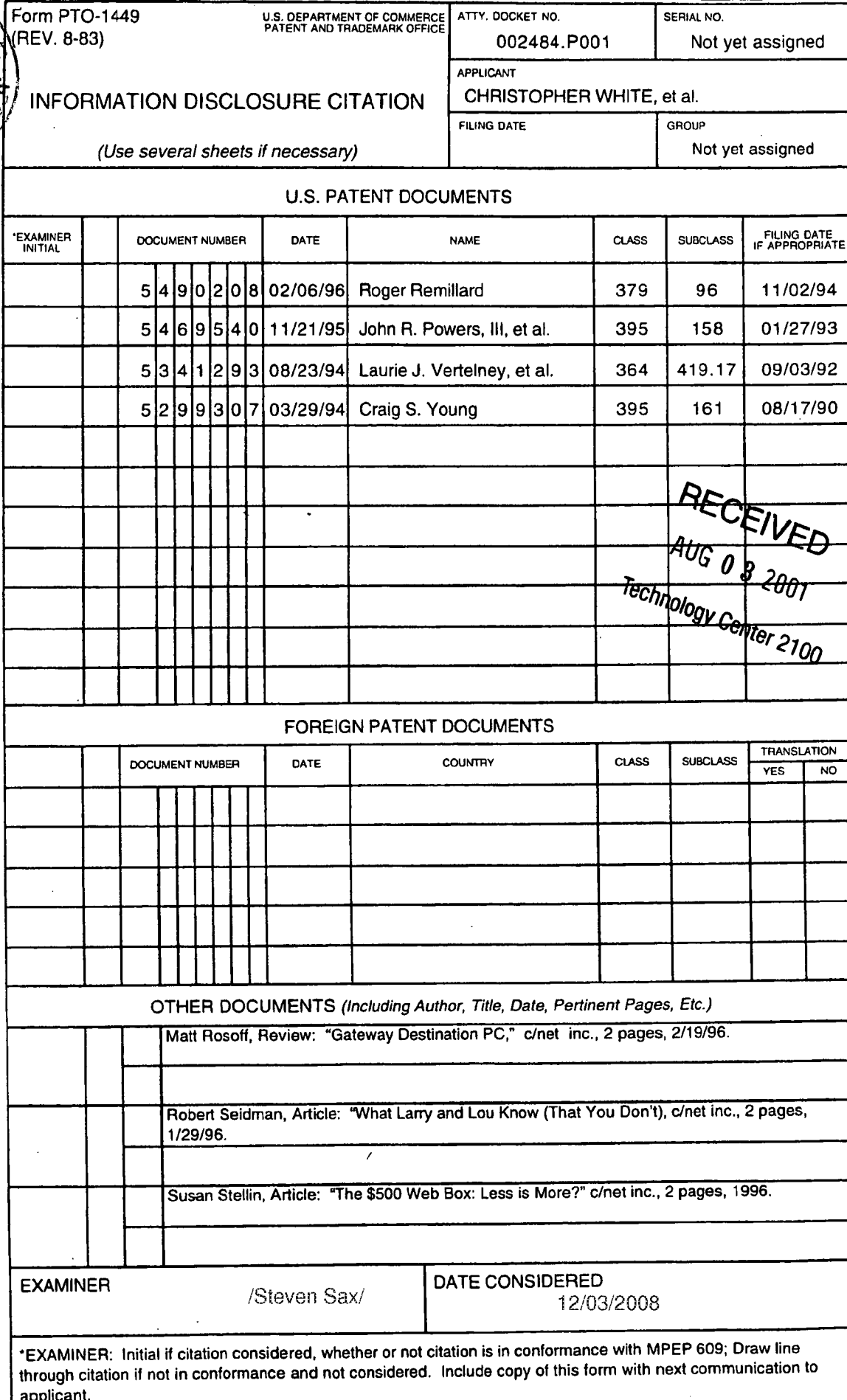


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